



National Renewable Energy Laboratory

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CONFIDENTIALITY NOTICE

Fax

This facsimile transmission (and/or the documents accompanying it) may contain confidential information belonging to the sender, which is protected by the attorney-client privilege. The information is intended only for the use of the individual or entity named below. If you are not the intended recipient, you are hereby notified that any disclosure, copying, distribution or the taking of any action in reliance on the contents of this information is strictly prohibited. If you have received this transmission in error, please immediately notify us by telephone to arrange for return of the documents.

Date: May 7, 2002

13

To: Paulette Kidwell

Organization: USPTO

Fax: 703/305-3230

From: Janice Brown (303/384-7576) for Paul White, Esq. (303/384-7575)

Organization: NREL Legal Office

Fax: 303-384-7499

Total Pages: 98 (includes cover page)

Remarks: Per our conversation this date, attached is documentation of our Chapter II PCT Demand filed November 2, 2001. Included is the Post Card Receipt, Transmittal Letter, Fee Calculation Sheet and the Chapter II PCT Demand.



PCT/98-22

The Stamp of the U.S. Receiving Office hereon will acknowledge receipt of:

- (1) Demand (4 pages)
- (2) Transmittal Letter to the U.S. Receiving Office
- (3) Fee Calculation Sheet

Re: PCT/US01/11825

Midwest Research Institute (Applicant)

Filed: 10 April 2001

Title: Improved Process for the Conversion of an Aqueous Biomass Hydrolyzate into Fuels or Chemicals by the Selective Removal of Fermentation Inhibitors

EJ200220673US

PCT/98-22

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JL JC14 Rec'd PCT/PTO 02 NOV 2001

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EJ200220673US

TRANSMITTAL LETTER TO
UNITED STATES RECEIVING OFFICE

Date

2 November 2001

International Application No.

Attorney Docket No.

PCT/98-22

I. Certification under 37 CFR 1.10 (if applicable)

EJ200220673 US

Express Mail mailing number

02 November 2001

Date of Deposit

I hereby certify that the application/correspondence attached hereto is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D. C. 20231.



Signature of person mailing correspondence

Brenda E. Brantley

Typed or printed name of person mailing correspondence

II. ☐ New International Application

TITLE

IMPROVED PROCESS FOR THE CONVERSION OF AN AQUEOUS BIOMASS HYDROLYZATE INTO FUELS OR CHEMICALS BY THE SELECTIVE REMOVAL OF FERMENTATION INHIBITORS

Earliest priority date
(Day/Month/Year)

SCREENING DISCLOSURE INFORMATION: In order to assist in screening the accompanying international application for purposes of determining whether a license for foreign transmittal should and could be granted and for other purposes, the following information is supplied. (Note: check as many boxes as apply):

- A. ☐ The invention disclosed was not made in the United States.
 B. ☐ There is no prior U.S. application relating to this invention.
 C. ☐ The following prior U.S. application(s) contain subject matter which is related to the invention disclosed in the attached international application. (NOTE: priority to these applications may or may not be claimed on form PCT/RO/101 (Request) and this listing does not constitute a claim for priority)

application no.		filed on	
application no.		filed on	

- D. ☐ The present international application ☐ is identical to ☐ contains less subject matter than that found in the prior U.S. application(s) identified in paragraph 3 above.
 E. ☐ The present international application ☐ contains additional subject matter not found in the prior U.S. application(s) identified in paragraph C above. The additional subject matter is found on pages _____ and ☐ DOES NOT ALTER ☐ MIGHT CONSIDER TO ALTER the general nature of the invention in a manner which would require the U.S. application to have been made available for inspection by the appropriate agencies under 35 U.S.C. 181 and 37 CFR 5.1. See 37 CFR 5.15.

III. ☐ A Response to an Invitation from the RO/US. The following document(s) is(are) enclosed:

- A. ☐ A Request for An Extension of Time to File a Response
 B. ☐ A Power of Attorney (General or Regular)
 C. ☐ Replacement pages:

pages		of the request (PCT/RO/101)	pages		of the figures
pages		of the description	pages		of the abstract
pages		of the claims			

- D. ☐ Submission of Priority Documents

Priority document		Priority document	
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- E. ☒ Fees as specified on attached Fee Calculation sheet form PCT/RO/101 annex

IV. ☐ A Request for Rectification under PCT Rule 91 ☐ A Petition ☐ A Sequence Listing DisketteV. ☒ Other (please identify):

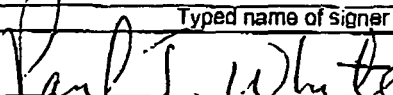
Demand + Postcard Receipt

The person
signing this
form is the:

- ☐ Applicant
☒ Attorney/Agent (Reg. No.)
 30,436
☐ Common Representative

Paul J. White

Typed name of signer



CHAPTER II

PCT

FEE CALCULATION SHEET

Annex to the Demand for international preliminary examination

<div style="border: 1px solid black; padding: 2px; margin-bottom: 2px;">International application No. PCT/US01/11825</div> <div style="border: 1px solid black; padding: 2px;">Applicant's or agent's file reference PCT/98-22</div>	<div style="border: 1px solid black; padding: 2px; margin-bottom: 2px;">For International Preliminary Examining Authority use only</div> <div style="border: 1px solid black; padding: 2px;">Date stamp of the IPEA</div>																		
Applicant <div style="text-align: center; font-weight: bold;">MIDWEST RESEARCH INSTITUTE</div>																			
Calculation of prescribed fees <table style="width: 100%;"><tr><td style="width: 60%;">1. Preliminary examination fee</td><td style="width: 20%; text-align: center; border: 1px solid black;">750.00</td><td style="width: 20%; text-align: center; border: 1px solid black;">P</td></tr><tr><td colspan="3" style="height: 20px;"></td></tr><tr><td>2. Handling fee (<i>Applicants from certain States are entitled to a reduction of 75% of the handling fee. Where the applicant is (or all applicants are) so entitled, the amount to be entered at H is 25% of the handling fee.</i>)</td><td style="text-align: center; border: 1px solid black;">137.00</td><td style="text-align: center; border: 1px solid black;">H</td></tr><tr><td colspan="3" style="height: 20px;"></td></tr><tr><td>3. Total of prescribed fees Add the amounts entered at P and H and enter total in the TOTAL box</td><td style="text-align: center; border: 1px solid black;">887.00</td><td></td></tr><tr><td></td><td style="text-align: center; border: 1px solid black;">TOTAL</td><td></td></tr></table>		1. Preliminary examination fee	750.00	P				2. Handling fee (<i>Applicants from certain States are entitled to a reduction of 75% of the handling fee. Where the applicant is (or all applicants are) so entitled, the amount to be entered at H is 25% of the handling fee.</i>)	137.00	H				3. Total of prescribed fees Add the amounts entered at P and H and enter total in the TOTAL box	887.00			TOTAL	
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3. Total of prescribed fees Add the amounts entered at P and H and enter total in the TOTAL box	887.00																		
	TOTAL																		
Mode of Payment <table style="width: 100%;"><tr><td><input checked="" type="checkbox"/> authorization to charge deposit account with the IPEA (see below)</td><td><input type="checkbox"/> cash</td></tr><tr><td><input type="checkbox"/> cheque</td><td><input type="checkbox"/> revenue stamps</td></tr><tr><td><input type="checkbox"/> postal money order</td><td><input type="checkbox"/> coupons</td></tr><tr><td><input type="checkbox"/> bank draft</td><td><input type="checkbox"/> other (specify):</td></tr></table>		<input checked="" type="checkbox"/> authorization to charge deposit account with the IPEA (see below)	<input type="checkbox"/> cash	<input type="checkbox"/> cheque	<input type="checkbox"/> revenue stamps	<input type="checkbox"/> postal money order	<input type="checkbox"/> coupons	<input type="checkbox"/> bank draft	<input type="checkbox"/> other (specify):										
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<input type="checkbox"/> postal money order	<input type="checkbox"/> coupons																		
<input type="checkbox"/> bank draft	<input type="checkbox"/> other (specify):																		
Deposit Account Authorization (<i>this mode of payment may not be available at all IPEAs</i>) <p>The IPEA/ <u>US</u> <input checked="" type="checkbox"/> is hereby authorized to charge the total fees indicated above to my deposit account.</p> <p><input type="checkbox"/> (<i>this check-box may be marked only if the conditions for deposit accounts of the IPEA so permit</i>) is hereby authorized to charge any deficiency or credit any overpayment in the total fees indicated above to my deposit account.</p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"><div style="width: 30%;">14-0460 Deposit Account Number</div><div style="width: 30%;">11/2/01 Date (day/month/year)</div><div style="width: 30%;">Paul J. White Signature</div></div>																			

The demand must be filed directly with the competent International Preliminary Examining Authority or, if two or more Authorities are competent, with the one chosen by the applicant. The full name or two-letter code of that Authority may be indicated by the applicant on the line below:

IPEA/US

PCT

CHAPTER 11

DEMAND

under Article 31 of the Patent Cooperation Treaty:

The undersigned requests that the international application specified below be the subject of international preliminary examination according to the Patent Cooperation Treaty and hereby elects all eligible States (except where otherwise indicated).

For International Preliminary Examining Authority use only		
Identification of IPEA		Date of receipt of DEMAND
Box No. I IDENTIFICATION OF THE INTERNATIONAL APPLICATION		Applicant's or agent's file reference PCT/98-22
International application No. PCT/US01/11825	International filing date (day/month/year) 10 April 2001	(Earliest) Priority date (day/month/year) 10 April 2000
Title of invention IMPROVED PROCESS FOR THE CONVERSION OF AN AQUEOUS BIOMASS HYDROLYZATE INTO FUELS OR CHEMICALS BY THE SELECTIVE REMOVAL OF FERMENTATION INHIBITORS		
Box No. II APPLICANT(S)		
Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.) MIDWEST RESEARCH INSTITUTE 425 Volker Boulevard Kansas City, Missouri 64110 United States of America		Telephone No.: 816/753-7600
		Facsimile No.: 816/753-8420
		Teleprinter No.:
State (that is, country) of nationality: US		State (that is, country) of residence: US
Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.) HAMES, Bonnie R. 2522 West 104th Circle Westminster, Colorado 80234 United States of America		
State (that is, country) of nationality: US		State (that is, country) of residence: US
Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.) HAVERCAMP, Annie D. 7747 West 51st Street Arvada, Colorado 80002 United States of America		
State (that is, country) of nationality: US		State (that is, country) of residence: US
<input checked="" type="checkbox"/> Further applicants are indicated on a continuation sheet.		

Sheet No. 2..

International application No.
PCT/US01/11825

Continuation of Box No. II APPLICANT(S)

If none of the following sub-boxes is used, this sheet should not be included in the demand

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)

HAYWARD, Tammy K.
1240 West 11th Court
Broomfield, Colorado 80020
United States of America

State (that is, country) of nationality:
USState (that is, country) of residence:
US

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)

NAGLE, Nicholas J.
3156 West 11th Avenue Court
Broomfield, Colorado 80020
United States of America

State (that is, country) of nationality:
USState (that is, country) of residence:
US

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)

State (that is, country) of nationality:

State (that is, country) of residence:

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)

State (that is, country) of nationality:

State (that is, country) of residence:



Further applicants are indicated on another continuation sheet.

Sheet No. 3International application No.
PCT/US01/11825**Box No. III AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE**The following person is ☒ agent ☐ common representativeand ☒ has been appointed earlier and represents the applicant(s) also for international preliminary examination,☐ is hereby appointed and any earlier appointment of (an) agent(s)/common representative is hereby revoked.☐ is hereby appointed, specifically for the procedure before the International Preliminary Examining Authority, in addition to the agent(s)/common representative appointed earlier.Name and address: (Family name followed by given name; for a legal entity, full official designation.
The address must include postal code and name of country.)Paul J. White
National Renewable Energy Laboratory
1617 Cole Boulevard
Golden, Colorado 80401
United States of America

Telephone No.:

303/384-7575

Facsimile No.:

303/384-7499

Teleprinter No.:

☐ Address for correspondence: Mark this check-box where no agent or common representative is/has been appointed and the space above is used instead to indicate a special address to which correspondence should be sent.**Box No. IV BASIS FOR INTERNATIONAL PRELIMINARY EXAMINATION****Statement concerning amendments:***

1. The applicant wishes the international preliminary examination to start on the basis of-

☒ the international application as originally filed

the description

☒ as originally filed☐ as amended under Article 34

the claims

☒ as originally filed☐ as amended under Article 19 (together with any accompanying statement)☐ as amended under Article 34

the drawings

☒ as originally filed☐ as amended under Article 342. ☐ The applicant wishes any amendment to the claims under Article 19 to be considered as reversed.3. ☐ The applicant wishes the start of the international preliminary examination to be postponed until the expiration of 20 months from the priority date unless the International Preliminary Examining Authority receives a copy of any amendments made under Article 19 or a notice from the applicant that he does not wish to make such amendments (Rule 69.1(d)). (This check-box may be marked only where the time limit under Article 19 has not yet expired.)

* Where no check-box is marked, international preliminary examination will start on the basis of the international application as originally filed or, where a copy of amendments to the claims under Article 19 and/or amendments of the international application under Article 34 are received by the International Preliminary Examining Authority before it has begun to draw up a written opinion or the international preliminary examination report, as so amended.

Language for the purposes of international preliminary examination: ENGLISH☒ which is the language in which the international application was filed.☐ which is the language of a translation furnished for the purposes of international search.☐ which is the language of publication of the international application.☐ which is the language of the translation (to be) furnished for the purposes of international preliminary examination.**Box No. V ELECTION OF STATES**

The applicant hereby elects all eligible States (that is, all States which have been designated and which are bound by Chapter 11 of the PCT)

excluding the following States which the applicant wishes not to elect:

Sheet No. 4International application No.
PCT/US01/11825**Box No. VI CHECK LIST**

The demand is accompanied by the following elements, in the language referred to in Box No. IV, for the purposes of international preliminary examination:

- | | | |
|--|---|--------|
| 1. translation of international application | : | sheets |
| 2. amendments under Article 34 | : | sheets |
| 3. copy (or, where required, translation) of amendments under Article 19 | : | sheets |
| 4. copy (or, where required, translation) of statement under Article 19 | : | sheets |
| 5. letter | : | sheets |
| 6. other (specify) | : | sheets |

For International Preliminary
Examining Authority use only

received	not received
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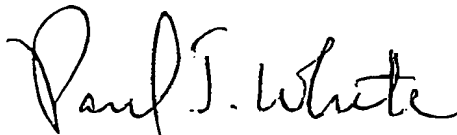
<input type="checkbox"/>	<input type="checkbox"/>
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<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

The demand is also accompanied by the item(s) marked below:

- | | |
|--|---|
| 1. <input checked="" type="checkbox"/> fee calculation sheet | 4. <input type="checkbox"/> statement explaining lack of signature |
| 2. <input type="checkbox"/> separate signed power of attorney | 5. <input type="checkbox"/> nucleotide and or amino acid sequence listing in computer readable form |
| 3. <input type="checkbox"/> copy of general power of attorney; reference number, if any: | 6. <input type="checkbox"/> other (specify): |

Box No. VII SIGNATURE OF APPLICANT, AGENT OR COMMON REPRESENTATIVE

Next to each signature, indicate the name of the person signing and the capacity in which the person signs (if such capacity is not obvious from reading the demand).



Paul J. White
Attorney for Applicant

For International Preliminary Examining Authority use only

1. Date of actual receipt of DEMAND:

2. Adjusted date of receipt of demand due to CORRECTIONS under Rule 60.1 (b):

- | | |
|--|---|
| 3. <input type="checkbox"/> The date of receipt of the demand is AFTER the expiration of 19 months from the priority date and item 4 or 5, below, does not apply. | <input type="checkbox"/> The applicant has been informed accordingly. |
| 4. <input type="checkbox"/> The date of receipt of the demand is WITHIN the period of 19 months from the priority date as extended by virtue of Rule 80.5. | |
| 5. <input type="checkbox"/> Although the date of receipt of the demand is after the expiration of 19 months from the priority date, the delay in arrival is EXCUSED pursuant to Rule 82. | |

For International Bureau use only

Demand received from IPEA on:

*** RX REPORT ***

RECEPTION OK

TX/RX NO	7787	
CONNECTION TEL		3033847499
SUBADDRESS		
CONNECTION ID		
ST. TIME	05/13 11:44	
USAGE T	01'26	
PGS.	9	
RESULT	OK	